



**North Carolina Department of Health and Human Services
Division of Mental Health, Developmental Disabilities and Substance Abuse Services
Accountability Team**

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Beverly Eaves Perdue, Governor
Lanier M. Cansler, Secretary

Steve Jordan, Director

Memorandum

To: Critical Access Behavioral Health Agencies

From: Sandee Resnick, Acting Accountability Team Leader
DMH/DD/SAS, Resource & Regulatory Management Section

Date: August 10, 2011

Subject: 2011 CABHA Monitoring

Between August 29 and September 30, 2011, the NC Department of Health and Human Services (DHHS) will conduct monitoring reviews of Critical Access Behavioral Health Agencies (CABHAs). **It is very important that you read this memorandum very carefully.**

The list of CABHAs to be monitored is posted on the DMH/DD/SAS website. The list includes the specific date of your scheduled monitoring. The monitoring visit will take place at your CABHA office address listed on the posted schedule. All reviews will begin at 9 AM on the scheduled date.

Please keep this letter throughout the monitoring process for reference purposes.

**Note: All tools to be used for this monitoring event
are posted on the DMH/DD/SAS website:**

<http://www.ncdhhs.gov/mhddsas/audits/index.htm>



Monitoring Process and Components:

- A list of the CABHAs to be monitored and the monitoring schedule is available on the website:
<http://www.ncdhhs.gov/mhddsas/audits/index.htm>

For specific information on monitoring tools, please download the following information from our website:

- ✓ **LME Record Review Monitoring Tool.** This tool will determine compliance related to specific CABHA requirements when the evidence can be found within service records.
- ✓ **LME Quality Management / Regulatory Monitoring Tool.** This tool will review CABHA requirements for Quality Management planning.
- ✓ **DHHS On-Site Monitoring Tool.** This tool will review administrative / infrastructure CABHA requirements.
- **The following information will be sent via UPS one (1) week prior to the week of your scheduled monitoring visit:**
 - ✓ Two lists of service records to be monitored that must be available onsite. The lists will include names, birth dates and Medicaid ID numbers. These lists will **not** be posted on the website.
 - ✓ Record List “A” will be used for Questions 1 - 4 on the LME Record Review Tool.
 - ✓ Record List “B” will be used for Questions 5 – 7 on the LME Record Review Tool.
- In addition to the on-site review, LME staff will be conducting short telephone interviews with 10 service recipients from Record List “B” regarding their success with services. The interview will be a subset of questions from the MH/SA Consumer Perception of Care Survey. In addition there will be an open ended question for individuals to comment about the quality of their services. **We request that you, as the service provider, contact each of the 20 individuals on this list to let them know they MAY receive a phone call for this purpose. If the individual is a child or an adult adjudicated incompetent, please contact the legally responsible person.** You can let each individual know that their responses will remain anonymous. Their names will not be used for any purpose. The LME will request the contact information from you either prior to or on the date of your CABHA monitoring.
- Full service records must be available as the CABHA monitoring record reviews are *not* based on individual dates of service as is the practice with Medicaid audits.
- Each CABHA must have staff persons who are familiar with CABHA requirements and agency records available for the duration of the monitoring event.
- Once each CABHA monitoring is complete and reviewers have left the site, **no additional documentation will be accepted.**
- In order to ensure efficiency during the monitoring process, as much as possible, please have documentation/information gathered ahead of time and labeled to match each section of the monitoring tools. Please have all items available for review at the monitoring site.

Monitoring Completion:

- At the completion of the review, the monitoring team will provide a brief exit interview outlining the general findings of the monitoring event.
- Copies of the completed monitoring tools and a report of the findings will be provided as soon as possible following the completion of the entire monitoring cycle.



- Please note that there may be revisions to the on-site findings when the monitoring tools are reviewed later by a monitoring team leader.
- Findings of the CABHA monitoring may be presented to the DHHS CABHA Certification Panel for determination of any needed action. Action may include but is not limited to assignment of a Plan of Correction, or suspension or decertification as laid out in 10A NCAC 22P.
- The results of CABHA monitoring may be appealed if those findings resulted in suspension or decertification, per the process described in 10A NCAC 22P .0602.
- Out of compliance findings that represent a systemic issue may result in the assignment of a Plan of Correction (POC) to be submitted to DMH/DD/SAS. The process for completing POCs related to CABHA monitoring will conform to the *DMH/DD/SAS Policy and Procedure for the Review, Approval and Follow-Up of Plan(s) of Correction (POC)*. The assignment of any POC required will be included in the formal report of findings.

Contacting Us

If you have questions concerning the information in this memorandum, or anything else related to this monitoring event, please contact the following staff members:

For questions related to the monitoring tools:

Stacy Silvia
919-881-2446 / office, 919-218-7402 / cell
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OR

Stacey Lee
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Stacey.lee@dhhs.nc.gov

We look forward to a successful review process.

SR:sr

cc: DMH/DD/SAS Executive Leadership Team (ELT)
Craig Gray, MD, MBA, JD, DMA Director
Tara Larson, DMA, Chief Clinical Operations Officer
Patrick Piggott, DMA, Chief Behavioral Health, Program Integrity

